

09/21/99  
 3586 U.S. PTO

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PTO/SB/05 (12/97)  
 Approved for use through 09/30/2000. OMB 0651-0032  
 Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>		Attorney Docket No.		ISM/007		Total Pages		63			
		First Named Inventor or Application Identifier									
		ADNAN SHENNIB									
		(Only for new nonprovisional applications under 37 CFR 1.53(b))		Express Mail Label No.		EK 034 390 353 US					
APPLICATION ELEMENTS <i>See MPEP chapter 600 concerning utility patent application contents.</i>					ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231						
1. <input checked="" type="checkbox"/> Fee Transmittal Form (Submit an original, and a duplicate for fee processing)  2. <input checked="" type="checkbox"/> Specification [Total Pages <u>42</u> ] (preferred arrangement set forth below) - Descriptive title of the invention - Cross References to Related Applications - Statement Regarding Fed sponsored R&D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 3. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets <u>9</u> ] 4. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages <u>2</u> ] a. <input checked="" type="checkbox"/> Newly executed (original or copy) b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional with Box 17 completed) [Note Box 5 below] i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). 5. <input type="checkbox"/> Incorporation By Reference (useable if Box 4b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference herein.					6. <input type="checkbox"/> Microfiche Computer Program (Appendix)  7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy  b. <input type="checkbox"/> Paper Copy (identical to computer copy)  c. <input type="checkbox"/> Statement verifying identity or above copy						
					ACCOMPANYING APPLICATION PARTS						
17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)    of prior application No.: ____ / ____					18. CORRESPONDENCE ADDRESS  <input type="checkbox"/> Customer Number or Bar Code Label    or <input checked="" type="checkbox"/> Correspondence address below (insert Customer No. or Attach bar code label here)						
NAME		Donald R. Greene									
		Registration No. 22470				Date: September 21, 1999					
ADDRESS		Post Office Box 12995									
CITY		Scottsdale		STATE		AZ		ZIP CODE		85267-2995	
COUNTRY		US		TELEPHONE		(480) 488-9895		FACSIMILE		(480) 488-5654	

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 09/21/99  
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

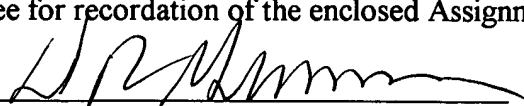
In re Application of: :  
: :  
ADNAN SHENNIB : Group Art Unit: \_\_\_\_\_  
: :  
Serial No. (to be assigned) : Examiner: \_\_\_\_\_  
: :  
Filed: Herewith :  
: :  
Title: PERSONAL HEARING EVALUATOR

NEW APPLICATION TRANSMITTAL

1. This new application is for an original utility patent, consisting of 42 pages of specification, including 18 pages of claims (109 claims) and a 1 page abstract, plus a cover sheet and 9 sheets (13 Figures) of informal drawings. Also enclosed is the PTO Application Transmittal Form (PTO/SB/05).
2. The application also includes a Combined Declaration and Power of Attorney, and Assignment, both executed by the inventor, with Assignment recordation form.
3. Also enclosed herewith are a Verified Statement Claiming Small Entity Status executed by the assignee, and a separate Verified Statement Claiming Small Entity Status executed by the inventor. The filing fee has therefore been calculated on a small entity basis, as follows:

CLAIMS AS FILED				CALCULATION			
				(Small Entity)			
	Number Filed			Number Extra	Rate		Basic Fee \$380.00
Total Claims	109	- 20	=	89	x \$ 9.00	=	801.00
Independent Claims	5	- 3	=	2	x \$39.00	=	<u>78.00</u>
				Filing Fee, Total			
				\$1,259.00			

4. Enclosed herewith is a check to the Commissioner in the amount of \$1,299.00 to cover both the above filing fee and the \$40.00 fee for recordation of the enclosed Assignment.

  
Donald R. Greene, Reg. No. 22470  
Post Office Box 12995  
Scottsdale, AZ 85267-2995  
(480) 488-9895

Dated: 09/21/99

09/21/99 15:00:46

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

ADNAN SHENNIB

Group Art Unit: \_\_\_\_\_

Serial No. (to be assigned)

Examiner: \_\_\_\_\_

Filed: Herewith

Title: PERSONAL HEARING EVALUATOR

**EXPRESS MAIL CERTIFICATE**

Express Mail Label No. **EK 034 390 353 US**

Date of Deposit: September 21, 1999

I hereby certify that the following attached papers:

- (1) Application including cover sheet; specification (42 pages) incl claims (18 pages, 109 claims) and Abstract (1 page); and informal drawings (9 sheets, 13 Figures);
- (2) Combined Declaration/Power of Attorney (executed 09/20/99 by inventor);
- (3) Assignment (executed 09/20/99 by inventor), and Recordation Form therefor;
- (4) Verified Statement Claiming Small Entity Status (executed 09/20/99 by assignee);
- (5) Verified Statement Claiming Small Entity Status (executed 09/20/99 by inventor);
- (6) Application Transmittal Letters (Standard, including calculation of filing fee (small entity) and assignment recordation fee, and PTO Form PTO/SB/05);
- (7) Check payable to the Commissioner in the amount of \$1,299.00; and
- (8) Postcard (stamped, addressed) for PTO acknowledgment of receipt.

are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above, addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.



Donald R. Greene  
P.O. Box 12995  
Scottsdale, AZ 85267-2995  
Tel: (602) 488-9895

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: :  
: :  
ADNAN SHENNIB : Group Art Unit: \_\_\_\_\_  
: :  
Serial No. (to be assigned) : Examiner: \_\_\_\_\_  
: :  
Filed: Herewith :

Title: PERSONAL HEARING EVALUATOR

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(b))--INDEPENDENT INVENTOR**

As the below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying reduced fees under section 41(a) and (b) of Title 35 United States Code, to the U.S. Patent and Trademark Office (PTO) with regard to the invention described in the above-captioned specification filed in the PTO herewith.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed or licensed or am under an obligation under contract or law to assign, grant, convey or license any rights in the invention is listed below\*:

\*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

- INSONUS MEDICAL, INC., a California corporation, having an office in Hayward, California (Verified Statement of Small Entity Status filed herewith).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which

status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF INDEPENDENT INVENTOR: Adnan Shennib

ADDRESS: 34337 Xanadu Terrace  
Freemont, California 94555

Signature: Adnan Shennib

Date: 9/20/99

651260-1510460

DRG/ISMSMLE2.007/09209

ATTORNEYDOCKET.ISM/007

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: :  
: ADNAN SHENNIB : Group Art Unit: \_\_\_\_\_  
: Serial No. (to be assigned) : Examiner: \_\_\_\_\_  
: Filed: Herewith :  
Title: PERSONAL HEARING EVALUATOR

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(c))--SMALL BUSINESS CONCERN**

Commissioner of Patents and Trademarks  
Washington, D.C. 20231

I hereby declare that I am an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN      InSonus Medical, Inc.  
ADDRESS OF CONCERN   2506-B Technology Drive  
                                 Hayward, CA 94545

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under Section 41 (a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full time, part time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law in the above-captioned application and in the invention disclosed therein have been conveyed by the inventor named as the applicant therein, to the small business concern identified above and remain therewith.

The rights held by the above identified small business concern are exclusive, and no rights to the invention are held by any other person or by any other concern, except for certain rights granted to the named inventor under that certain Commercialization Rights Agreement effective March 1998 between the above identified small business concern and the named inventor. I declare that the above identified small business concern has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person or entity that could not be classified as a small entity under 37 C.F.R. 1.9(f).

I acknowledge the duty to file, in this application for patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small business entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING  
TITLE OF PERSON OTHER THAN OWNER  
ADDRESS OF PERSON SIGNING

**Adnan Shennib**  
**President and CEO**  
**InSonus Medical, Inc.**  
**2506-B Technology Drive**  
**Hayward, CA 94545**

Signature Adnan Shennib Date 9/20/99

DRG/ISMSMLEN.007/09209